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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/737,277	12/12/2000	L. Michael Maritzen	SON5180.03A	7927

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EXAMINER

POINVIL, FRANTZY

ART UNIT PAPER NUMBER

3628

DATE MAILED: 02/27/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/737,277

Applicant(s)

MARITZEN ET AL.

Examiner

Frantzy Poinvil

Art Unit

3628

MW

-- The MAILING DATE of this communication appears on the cover sheet with the corresponding address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 12 December 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-18 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-18 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date 6 & 7.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

DETAILED ACTION

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-8, 11-13 and 16-18 are rejected under 35 U.S.C. 102(e) as being anticipated by Northington et al (6,128,602).

As per claim 1, Northington et al disclose an information gathering and distribution system, comprising: a data terminal capable of receiving data (figure 1, element 110); and a transaction and information clearing house (TIPCH) (figure 1, element 100), said TIPCH configured to gather electronic information from a vendor (column 7, lines 45-67 and column 6, lines 14-18), said TIPCH connected selectively to said data terminal (figure 1); wherein said electronic information is automatically transferred to said data terminal when said data terminal is connected to said TIPCH (column 7, lines 45-67, abstract and column 8, line 55 to column 9, line 24).

As per claim 2, Northington et al disclose the data terminal is further configured to send electronic signals to said TIPCH (column 5, lines 35-56 and column 9, lines 49-67).

As per claim 3, Northington et al disclose the system further comprising a financial transaction processing mechanism associated with said TIPCH (column 11, lines 16-28 and column 12, lines 59-66) , said processing mechanism configured to disperse forms of remuneration to a vendor associated with a transaction (column 12, lines 59-66 column 13, lines 15-20) authorized by said TIPCH.

As per claim 4, Northington et al disclose the financial transaction processing mechanism is a financial institution (column 11, lines 16-28).

As per claim 5, Northington et al disclose the data terminal further comprises a security mechanism, wherein access to said terminal is restricted to a particular user (column 3, line 62 to column 4, line 6 and column 10, line 66 to column 11, line 3).

As per claim 6, Northington et al disclose the transaction and information processing clearing house further comprises a security mechanism, wherein access to said financial and information processing clearing house is restricted to a particular user (column 6, line 52 to column 7, line 3).

As per claim 7, Northington et al disclose a secure distribution system for distribution of electronic content to a user from said TIPCH, said TIPCH configured to receive electronic content from a vendor and to provide the electronic

content to a user through said secure distribution system (column 3, line 62 to column 4, line 6; column 10, line 66 to column 11, line 3 and column 6, line 52 to column 7, line 3).

As per claim 8, Northington et al disclose the TIPCH is configured to provide electronic content to a user by transmitting the electronic content to a users transaction device at the request of the user (column 8, line 55 to column 9, line 23).

As per claim 11, Northington et al disclose an electronic commerce system, comprising: a data terminal capable of sending and receiving data, said terminal configured to indicate that a transaction is to be performed (figure 1, element 110) a transaction and information clearing house (TIPCH) (figure 1, element 100), said TIPCH configured to gather electronic information from a vendor (column 7, lines 45-67 and column 6, lines 14-18), said TIPCH connected selectively to said data terminal (figure 1); said information automatically transferred to said data terminal when said data terminal is connected to said TIPCH (column 7, lines 45-67, abstract and column 8, line 55 to column 9, line 24), said TIPCH configured to interface with a financial processing system (figure 6); and a financial processing system configured to transfer funds from a users account to a vendors account when authorized by a data terminal (figure 6 and column 11, lines 16-59).

As per claim 12, Northington et al disclose the transaction and information processing clearing house further comprises a security mechanism, wherein access to said financial and

information processing clearing house is restricted to a particular user (column 6, line 52 to column 7, line 3).

As per claim 13, Northington et al the data terminal further comprises a security mechanism, wherein access to said data terminal is restricted to a particular user (column 3, line 62 to column 4, line 6 and column 10, line 66 to column 11, line 3).

As per claim 16, Northington et al disclose a method for permitting users to conduct an electronic commerce transaction, the method, comprising: providing a data-transaction device to a user, the device capable of sending and receiving data (figure 1, element 110), the transaction device having a unique identifier corresponding to the user (the card number or user identification number) ; providing a transaction and information clearing house (TIPCH) (column 11, lines 16-52), said TIPCH configured to receive electronic content from a vendor and to provide electronic content to said data-transaction device ((column 3, line 62 to column 4, line 6; column 10, line 66 to column 11, line 3 and column 6, line 52 to column 7, line 3), said TIPCH maintaining an association between the user and the data-transaction device using the unique device identifier, said TIPCH authorizing a transaction based upon the device identifier, said TIPCH automatically providing said electronic content to said data-transaction device; and conducting an electronic commerce transaction with a vendor using the data-transaction device (figure 6, column 3, line 62 to column 4, line 6; column 10, line 66 to column 11, line 3 and column 6, line 52 to column 7, line 3).

As per claim 17, Northington et al discloses a set of personal identification information corresponding to the user is obtained and associated with the data-transaction device is obtained and associated to the transaction device upon a registration of the data-transaction device (column 5, lines 35-56 and column 9, line 49 to column 10 line 38).

As per claim 18, Northington et al disclose a transaction and information processing clearing house (TIPCH) for use in an electronic system (figures 1 and 6) comprising: a secure database identifying accounts corresponding to a particular device identifier; authorization logic coupled to the secure database (column 9, line 49 to column 10, line 38) configured to authorize access to a user information database (column 8, line 55 to column 9, line 23); an information retrieval system wherein consumer account information is retrieved from selected consumer accounts and stored in said user information database (column 7, line 45 to column 8, line 18; column 9, line 49 to column 10, line 38 and column 13, lines 15-32); and an information disbursal system, wherein retrieved information in said user information database is automatically dispensed to a user (column 10, lines 12-14 and column 8, lines 1-18).

Claim Rejections - 35 USC § 103

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 9-10 and 14-15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Morthington et al (US Patent No.6,128,602).

As per claims 9-10 and 14-15, Northington et al do not explicitly teach a transaction and information processing clearing house further comprises a distribution system configured to provide delivery of a product of a transaction to a user or a return system configured to enable the user to return the package to the vendor. Northington et al disclose a user accessing financial systems via on line or a via an electronic mail. See column 11, lines 40-52. It is well known that a user has a the option of returning a purchased product or package which the user feels dissatisfied with. If the package is an electronic content, the user may return the item online or via mail. It would have been obvious to one of ordinary skill in the art at the time of the invention to incorporate these features in the system of Northington et al with the motivation of providing a user with the option of returning an item the user no longer desires or is dissatisfied with.

Conclusion

3. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Frantzy Poinvil whose telephone number is (703) 305-9779. The examiner can normally be reached on Monday-Thursday 7:00AM-5:30PM.

The fax phone numbers for the organization where this application or proceeding is assigned are (703) 872-9326 for regular communications and (703) 872-9327 for After Final communications.

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

FP

February 20, 2004

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